

EXHIBIT 6

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Mirman - Direct

THE HEARING OFFICER: Time period.

MR. PARISER: Well, he was at John Thomas between January 18th, 2012 and February 7th, 2012. I'm asking for any time when he was there --

MR. SORKIN: That's fair.

MR. PARISER: -- what's the largest number of people who reported to you.

A The largest number of people were about 20.

Q And how did you end up working at John Thomas Financial?

A Late 2011, one of our clients at another firm, BMA Securities, was tasked with taking an issuer on a non-deal road show. That issuer was named Citrix Holdings, a NASDAQ company.

My assistant actually cold called the head of capital markets at the time, a guy named Jason Goldstein --

Q When you say "head of capital markets," was that at John Thomas Financial?

A At John Thomas Financial.

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-- and he arranged for the meeting.

We took the company there, and I couldn't believe my eyes, the place was just on fire, energetic, filled with about 200 people, and a few people that I had known from past employment, and so I got to meet Tommy Belesis, I met some others, and over the course of the next month or two talked about a potential employment for me there.

Q And what did you find -- did you learn more about the firm in connection with your beginning to take employment there?

A Yes.

Q What did you learn? In connection with investment banking.

A The company had conducted a few offerings, mostly Reg D offerings, and had a Facebook fund called the Gault something -- the Gault Financial Fund or something like that. They had done a few transactions, Amber Alert was one of them, America West was another, Sahara Media Holdings was another, I think there was a successor company to Sahara Media, and I

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Mirman - Direct

know, it's south of this. It's not on here.
It's not part of this, it's separate.

Q And how did you -- was there a
hallway you needed to get through from where
your office was to the boardroom?

A Yes.

In this picture -- I think there
were one, two -- there were three hallways on
the south part of the border here. One hallway
would go directly into an area that then
connected -- like a hallway that would then
connect to the area I just described. There was
another hallway in the middle that would go
towards, like, the bathrooms, and then there was
another one that would go towards the reception
area on the right.

Q I think -- I wanted to establish,
you're not in this room that's on the screen,
and you're somewhere off to the south?

A Right.

Q Do you recall -- while we're
talking about AWSR -- the events of
February 23rd, 2013? That's the day on which
the stock price spiked in AWSR.

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Mirman - Direct

Do you recall those events -- that
day?

A Well, there are a lot of events
that took place on February 23rd.

Q First, were you in the office that
day?

A I was.

Q First, were you aware of anything
happening relating to AWSR that day?

A I was.

Q What did you learn about?

A I learned that --

MR. SORKIN: Objection.

Very broad.

THE HEARING OFFICER: It is, but
this is the beginning of the focus, so
overruled.

MR. SORKIN: Okay.

A I learned that AWSR had spiked on
substantial volume. That's what I learned.

Q And how did you learn that?

A I had a few brokers call us up and
say, "Hey, can you explain why the stock is
going up, this is fantastic, it's terrific." I

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Mirman - Direct

1 said, "Yeah, it's terrific, I hope you can
2 monetize it, I think it's excellent."

3 I think for the few months'
4 lead-up to that, America West had basically been
5 a non --

6 MR. SORKIN: Objection. He was
7 asked what happened on this day, he
8 wasn't asked what happened several
9 months before. It's a narrative.

10 THE HEARING OFFICER: Sustained.

11 You've answered the question how
12 you learned about it. Some brokers
13 called you?

14 THE WITNESS: Yes. Sorry.

15 THE HEARING OFFICER: Go ahead.

16 Q What were you doing on the 23rd?

17 A I was in the investment banking
18 department.

19 Q Were you involved in any
20 particular transaction?

21 A Yes.

22 Q What transaction?

23 A Grandparents.com.

24 Q Can you describe what was
25

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Mirman - Cross

1 Q And what time did this virtual
2 closing of grandparents.com take place? When
3 did it take place?

4 MR. PARISER: Asked and answered.

5 THE HEARING OFFICER: On direct.

6 MR. PARISER: Yes.

7 THE HEARING OFFICER: But this is
8 cross.

9 A I'm sorry, ask your question
10 again.

11 Q When did the virtual closing, as
12 you call it, of grandparents.com begin on
13 February 23rd, 2012?

14 A I think it's, you know, almost a
15 day-long process, so -- I'm guessing --

16 Q No, I don't want you to guess, I
17 want your best recollection.

18 A I think there was e-mail traffic
19 starting at ten, eleven, twelve that day in
20 terms of getting subscription agreements lined
21 up, speaking to attorneys, and lasted five
22 hours, six hours maybe.

23 Q Does that help you now tell us
24 when it began?
25

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Mirman - Cross

A Yes.

Q And this is dated February 23rd, 2012, 3:58 p.m., sent by you.

Who is Mr. Joseph Bernstein?

A He was a co-CEO of grandparents.com.

Q And Tim Woodland?

A He was the attorney for the public vehicle, NorWestTech.

Q This is RX 139.

Now, the first e-mail from Joseph Bernstein to Mr. Woodland is at 3:30 p.m.

Do you see that?

A Yes.

It's actually not the first e-mail, it's the second e-mail.

Q Is there a page 2?

A I'm sorry, say that again?

Q Is there a page 2?

A Well, below that there's another e-mail.

Q Let's go to page 2. That's the e-mail chain.

A There you go.

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Mirman - Cross

Q And at 12:20 there's an e-mail from Mr. Wasserman to you --

A No.

Q Hold on.

Mr. Woodland and Mr. Goodman. Do you see that?

A I'm sorry, can you go back, please?

Q Sure.

At 12:20 --

A No, I'm sorry, could you do it actually one page so I can actually read it? The two pages is too small for me to read.

There you go.

Q Does that help?

A Perfect.

Q This is from Mr. Wasserman to you and to Mr. Woodland and to Mr. Goodman.

Do you see that?

A Yes.

Q And it says, "We are all set on our end and ready to close. Please confirm that you are signed off," and so forth.

And I take it this is the

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Mirman - Cross

grandparents.com closing that you referred to?

A That is what Jeff Wasserman is referring to.

Q Now, do you remember when you received this e-mail? Sent at 12:20, do you remember when you received it?

A No.

Q You told us earlier -- by the way, as of February 23rd, 2012, how long had you been at the firm?

A Six weeks.

Q And you told us earlier, I think, when you were talking about in your view Mr. Belesis' good points, that he's hands-on.

A Yes.

Q Was he hands-on on financing deals?

A Sometimes.

Q Well, was he hands-on on the grandparents.com?

A Define "hands-on."

Q You define it. You told us he was hands-on. What do you mean, hands-on?

A I said that he was involved in all

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